

Guidance on Preparing an Initiation Package for Endangered Species Consultation¹

This document is intended to provide general guidance on the type and detail of information that should be provided to initiate consultation with US Fish and Wildlife Service (USFWS) and/or National Marine Fisheries Service (NOAA Fisheries). This is not intended to be an exhaustive document as specific projects may require more or less information in order to initiate consultation. Also, note that this contains guidance on the information required to initiate formal consultation procedures with USFWS and/or NOAA Fisheries. Additional information needs may be identified during consultation. Texts in italics below are examples. Normal text is guidance. A glossary of terms is appended.

INTRODUCTION

Here is an example of introductory language:

The purpose of this initiation package is to review the proposed [project name] in sufficient detail to determine to what extent the proposed action may affect any of the threatened, endangered, proposed, or sensitive species and designated or proposed critical habitats listed below. In addition, the following information is provided to comply with statutory requirements to use the best scientific and commercial information available when assessing the risks posed to listed and/or proposed species and designated and/or proposed critical habitat by proposed federal actions. This initiation package is prepared in accordance with legal requirements set forth under regulations implementing Section 7 of the Endangered Species Act (50 CFR 402; 16 U.S.C. 1536 (c)).

Threatened, Endangered, Proposed Threatened or Proposed Endangered Species

Example language:

The following listed and proposed species may be affected by the proposed action:

*common name (Scientific name) **T***

*common name (Scientific name) **E***

*common name (Scientific name) **PT***

*common name (Scientific name) **PE***

This list should include all of the species from the species lists you obtained from USFWS and NOAA Fisheries. If it doesn't, include a brief explanation here and a more detailed explanation

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in your record to help USFWS, NOAA Fisheries and future staff understand your thought process for excluding a species from consideration.

Candidate Species, Sensitive Species and Species of Concern

Example language:

The following candidate species, sensitive species, and species of concern may be affected by the proposed action:

common name (Scientific name) [include state designation, if appropriate]

Any State-listed species should be included here, if they are not federally listed.

Do not forget that Action Agencies often have additional responsibilities to help prevent these species from becoming listed. Check your agency's guidelines.

Critical Habitat

Example language:

The action addressed within this document falls within Critical Habitat for [identify species].

CONSULTATION TO DATE

“Consultation” under the ESA consists of discussions between the action agency, the applicant (if any), and USFWS and NOAA Fisheries. It is the sharing of information about the proposed action and related actions, the species and environments affected, and means of achieving project purposes while conserving the species and their habitats. Under the ESA, there can be both formal and informal consultation. Both processes are the same, but formal consultation has statutory timeframes and other requirements (such as the submission of the information in this package).

Summarize any consultation that has occurred thus far. Identify when consultation was requested (if not concurrent with this document). Be sure to summarize meetings, site visits and correspondence that were important to the decision-making process.

DESCRIPTION OF THE PROPOSED ACTION

The purpose of this section is to provide a clear and concise description of the proposed activity and any interrelated or interdependent actions.

The following information is necessary for the consultation process on an action:

1. The action agency proposing the action.
2. The authority(ies) the action agency will use to undertake, approve, or fund the action.
3. The applicant, if any.
4. The action to be authorized, funded, or carried out.

5. The location of the action.
5. When the action will occur, and how long it will last.
6. How the action will be carried out
7. The purpose of the action.
8. Any interrelated or interdependent actions, or that none exist to the best of your knowledge.

Describe and specify: **WHO** is going to do the action and under what authority, include the name and office of the action agency and the name and address of the applicant; **WHAT** the project or action is; **WHERE** the project is (refer to attached maps); **WHEN** the action is going to take place, including time line and implementation schedules; **HOW** the action will be accomplished, including the various activities that comprise the whole action, the methods, and the types of equipment used; **WHY** the action is proposed, including its purpose and need; and **WHAT OTHER** interrelated and interdependent actions are known. This combination of actions are what is being consulted on for the 7(a)(2) analysis.

Include a clear description of all conservation measures and project mitigation such as avoidance measures, seasonal restrictions, compensation, restoration/creation (on-site and in-kind, off-site and in-kind, on-site and out-of-kind, off-site and out-of-kind), and use of mitigation or conservation banks.

Here are some examples of commonly overlooked items to include in your project description:

- Type of project
- Project location
- Project footprint
- Avoidance areas
- Start and end times
- Construction access
- Staging/laydown areas
- Construction equipment and techniques
- Habitat status on site
- Habitat between work areas and endangered species locations
- Permanent vs. temporary impacts
- Surrounding land-use
- Hydrology and drainage patterns
- Duration of “temporary” impacts
- Prevailing winds and expected seasonal shifts
- Restoration areas
- Conservation measures
- Compensation and set-asides

Bank ratios and amounts

Mitigation: what kind and who is responsible?

Dust, erosion, and sedimentation controls

Whether the project is growth-inducing or facilitates growth

Whether the project is part of a larger project or plan

What permits will need to be obtained

Action Area

Describe all areas to be affected directly or indirectly by the Federal action and not merely the immediate area involved in the action. This includes any interrelated and interdependent actions. Remember that the action area is not based simply on the Federal action and should not be limited to the location of the Federal action. The same applies to the applicant's action. The action area is defined by measurable or detectable changes in land, air and water, or to other measurable factors that may elicit a response in the species or critical habitat.

To determine the action area, we recommend that you first break the action down into its components (*e.g.*, vegetation clearing, construction of cofferdams, storage areas, borrow areas, operations, maintenance, etc.) to assess the potential stressors (impacts) resulting from each component.

Determine the stressors that are expected to result from each component. For example, instream actions may mobilize sediments that travel downstream as increased turbidity and then settle out as sediments on the stream substrate. Sound levels from machinery may be detectable hundreds of feet, thousands of feet, or even miles away. Use these distances when delineating the extent of your action area. Note: don't forget to subsequently reconstruct the action to assess the combined stressors of the components. You may find that some stressors are synergistically minimized or avoided, whereas other stressors may increase.

Finally, describe the action area, including features and habitat types. Include photographs and an area map as well as a vicinity map. The vicinity map for terrestrial projects should be at a 1:24,000 scale with the USGS quad name included.

SPECIES ACCOUNTS AND STATUS OF THE SPECIES IN THE ACTION AREA

Provide local information on affected individuals and populations, such as presence, numbers, life history, etc. Identify which threats to the species' persistence identified at the time of listing are likely to be present in the action area. Identify any additional threats that are likely to be present in the action area.

If the species has a distribution that is constrained by limiting factors, identify where in the action area factors are present that could support the species and where they are absent or limiting. For example, if a species is limited to a narrow thermal range and a narrow humidity range, show where in the action area the temperatures are sufficient to support the species, where the humidity is sufficient to support the species, and where those areas overlap.

Include aspects of the species' biology that relate to the impact of the action, such as sensitivity to or tolerance of: noise, light, heat, cold, inundation, smoke, sediments, dust, etc. For example,

if the species is sensitive to loud sounds or vibration, and your project involves loud tools or equipment, reference that aspect of their biology. Include citations for all sources of information

Describe habitat use in terms of breeding, feeding, and sheltering. Describe habitat condition and habitat designations such as: critical habitat (provide unit name or number, if applicable), essential habitat, important habitat, recovery area, recovery unit (provide unit name or number, if applicable). Also discuss habitat use patterns, including seasonal use and migration (if relevant), and identify habitat needs.

Identify and quantify the listed-species habitat remaining in the action area. GIS layers are useful here, as are land ownership patterns--especially local land trusts and open space designations.

Identify any recovery plan implementation that is occurring in the action area, especially priority one action items from recovery plans.

Include survey information. For all monitoring and survey reports, please clearly identify how it was done, when, where, and by whom. If survey protocols were followed, reference the name and date of the protocol. If survey protocols were modified, provide an explanation of how the surveying occurred and the reasoning for modifying the protocol.

Keep it relevant. It is unnecessary to discuss biology that is totally unrelated to project impacts--*e.g.*, discussion of pelage color, teat number, and number of digits fore and aft when the project is a seasonal wetland establishment.

Utilize the best scientific and commercial information available. Use and cite recent publications/journal articles/agency data and technical reports. Include local information, relative to the action area, views of recognized experts, results from recent studies, and information on life history, population dynamics, trends and distribution. Reference field notes, unpublished data, research in progress, etc.

Things to consider:

- Existing threats to species

- Fragmentation

- Urban growth area

- Drainage patterns

- Information on local sightings and populations

- Population trends

- Home range and dispersal

- Sensitivity of endangered species to: dust, noise, heat, desiccation, etc.

- Trap stress/mortality

- Predators

ENVIRONMENTAL BASELINE AND CUMULATIVE EFFECTS

Provide information on past, present and future state, local, private, or tribal activities in the action area: specifically, the positive or negative impacts those activities have had on the species or habitat in the area in terms of abundance, reproduction, distribution, diversity, and habitat quality or function. Include the impacts of past and present federal actions as well. Don't forget to describe the impacts of past existence and operation of the action under consultation (for continuing actions).

Cumulative effects include the effects of future State, Tribal, local or private actions that are reasonably certain to occur in the action area. Future Federal actions that are unrelated (*i.e.*, not interrelated or interdependent) to the proposed action are not considered in this analysis because they will be subject to separate consultation pursuant to section 7 of the Act. (Note: Cumulative effects under ESA are not the same as the definition under NEPA. Be careful not to mix them up.) Describe the impacts of these cumulative effects in terms of abundance, reproduction, distribution, diversity, and habitat quality or function.

Present all known and relative effects to population, *e.g.*, fish stocking, fishing, hunting, other recreation, illegal collecting, private wells, development, grazing, local trust programs, etc. Include impacts to the listed and proposed species in the area that you know are occurring and that are unrelated to your action--*e.g.*, road kills from off-road vehicle use, poaching, trespass, etc.

EFFECTS OF THE ACTION

The purpose of this section is to document your analysis of the potential impacts the proposed action will have on species and/or critical habitats. This analysis has two possible conclusions for listed species and designated critical habitat:

(1) May Affect, Not Likely to Adversely Affect – the appropriate conclusion when effects on a listed species are expected to be *discountable*, *insignificant*, or completely *beneficial*.

Beneficial effects – contemporaneous positive effects without any adverse effects

Insignificant effects – relate to the size of the impact and should never reach the scale where take would occur.

Discountable effects – those that are extremely unlikely to occur. Based on best judgment, a person would not: (1) be able to meaningfully measure, detect, or evaluate insignificant effects; or (2) expect discountable effects to occur.

(2) May Affect, Likely to Adversely Affect – the appropriate finding if *any* adverse effect may occur to listed species or critical habitat as a direct or indirect result of the proposed action or its interrelated or interdependent actions, and the effect is not discountable, insignificant, or beneficial.

A finding of “may affect” is the primary trigger for initiating section 7 consultation. Further analysis leads to one of the two conclusions above. In the case of a determination that an action is “not likely to adversely affect” a species or critical habitat, you can request USFWS and/or NOAA Fisheries concurrence with this determination and consultation can be concluded upon receipt of our concurrence. Determinations of “likely to adversely affect” require further

consultation between the action agency and USFWS and NOAA Fisheries. These consultations typically lead to the preparation of a biological opinion, although they can also lead to incorporation of additional protective measures that render the project “not likely to adversely affect” listed species or designated critical habitat. Any actions that are likely to result in the incidental take of a listed species are automatically considered “likely to adversely affect.”

In the case of proposed species or proposed critical habitat, the possible conclusions are:

Species

Likely to Jeopardize the Continued Existence

Not Likely to Jeopardize the Continued Existence

Critical Habitat

Likely to Destroy or Adversely Modify

Not Likely to Destroy or Adversely Modify

The effects analysis includes assessment of:

- Direct and indirect effects (including stressors and benefits) of Federal action
- Direct and indirect effects (including stressors and benefits) of applicant’s action
- Direct and indirect effects (including stressors and benefits) of interrelated or interdependent actions
- Direct and indirect effects (including stressors and benefits) of conservation and minimization measures

Remember: Direct and indirect effects under ESA are **not** the same as direct and indirect effects under NEPA. Be careful not to mix them up. Under ESA, direct effects are those that are caused by the action(s) and occur at the time of the action(s), and indirect effects are those that are caused by the action(s) and are later in time, but are still reasonably certain to occur.

Based on the various components of your action that you used to determine the extent of the action area, this analysis assesses the potential stressors resulting from each component and predicts the likely responses species and critical habitat will have. Note: don’t forget to subsequently reconstruct the action to assess the combined stressors of the components. You may find that some stressors are synergistically minimized or avoided, whereas other stressors may increase.

Describe the stressors that are expected to result from each component. For example, instream actions may mobilize sediments that travel downstream as increased turbidity and then settle out as sediments on the stream substrate. Sound levels from machinery may be detectable hundreds of feet, thousands of feet, or even miles away. Describe these stressors in terms of their intensity, frequency, and duration.

Once you have determined the expected stressors resulting from an activity, the next step is to assess the overlap between those stressors and individuals of the species or components of critical habitat. The purpose of determining this overlap is to accurately and completely assess the potential exposure of species and habitat to the stressors resulting from the action. This

exposure is the necessary precursor to any possible response those species and habitat may have. Your conclusions of “not likely to adversely affect” or “likely to adversely affect” are based in large part on this response.

To determine exposure, here is a basic set of questions you might answer:

- What are the specific stressors causing the exposure
- Where the exposure to the stressors would occur
- When the exposure to stressors would occur
- How long the exposure to stressors would occur
- What is the frequency of exposure to stressor
- What is the intensity of exposure to stressor
- How many individuals would be exposed
- Which populations those individuals represent
- What life stage would be exposed

For critical habitat, the questions would be similar but would focus on constituent elements of critical habitat.

Remember that exposure to a stressor is not always direct. For example, in some cases individuals of a species may be directly exposed to the sediment mobilized during construction. However, in other cases, individuals of the species would be exposed indirectly when sediment mobilized during construction settles out in downstream areas, rendering those areas unusable for later spawning or foraging.

Here are some examples of stressors you should address:

Exposure to abiotic factors affecting land, air, or water

Exposure to biotic factors affecting species behavior

Spatial or temporal changes in primary constituent elements of critical habitat

Loss or gain of habitat--direct and indirect

Fragmentation of habitat

Loss or gain of forage and/or foraging potential

Loss or gain of shelter/cover

Loss or gain of access through adjacent habitat/loss of corridors

Once you have determined that a species or critical habitat will be exposed to an action, the next step is to determine the potential response or range of responses the exposed individuals or components of critical habitat will have to those levels and types of exposure.

This is where the use of the best scientific and commercial information available becomes crucial. Your analysis must take this information into consideration and the resulting document must reflect the use of this information and your reasoning and inference based on that

information. Bear in mind that this analysis may not be the final word on the expected responses as further consultation with USFWS or NOAA Fisheries may refine this analysis.

Be sure to describe the expected responses clearly and focus your analysis towards determining if any of the possible responses will result in the death or injury of individuals, reduced reproductive success or capacity, or the temporary or permanent blockage or destruction of biologically significant habitats (*e.g.*, foraging, spawning, or lekking grounds; migratory corridors, etc.). Any of these above responses are likely to qualify as adverse effects. If the available information indicates that no observable response is expected from the levels and types of exposure, the action may be unlikely to adversely affect a species or critical habitat. However, remember that no observable response may actually mask an invisible internal response such as increased stress hormone levels, elevated heart rate, etc. Depending on the fitness of the exposed individual and the surrounding environment (including other threats), these “invisible” responses may lead to more serious consequences. We recommend working with your NOAA Fisheries or USFWS contact to determine the appropriate conclusion.

Don’t forget to consider:

- Individual responses based on the species biology and sensitivity to exposure

- The combined effects of existing threats and new exposure

- The combined effects of limiting factors and new exposure

- Disrupted reproduction and/or loss of reproduction

- Exposure and response of species and critical habitat to interrelated and interdependent actions

Understanding and avoiding the common flaws in developing an effect determination will save you considerable time. These common flaws are: the ADisplacement@ Approach (*i.e.*, the species will move out of the way; there are plenty of places for them to go); the ANot Known to Occur Here@ Approach (*i.e.*, looking at survey results, or lack of results, instead of the Recovery Plan for the species); the AWe=ll Tell You Later@ Approach (*i.e.*, if we find any, then we=ll let you know and that is when we will consult); or the ALeap of Faith@ Approach (*i.e.*, the agency wants the USFWS or NOAA Fisheries to accept a determination based on trust, rather than the best scientific and commercially available information.). Sticking to flawed determinations will cost everyone time, money, and aggravation.

Analysis of alternate actions

This analysis is required for actions that involve preparation of an EIS. For all other actions, a summary of alternatives discussed in other environmental documents is useful.

OTHER RELEVANT INFORMATION

Provide any other relevant available information the action, the affected listed species, or critical habitat. This could include local research, studies on the species that have preliminary results, and scientific and commercial information on aspects of the project.

CONCLUSION

This is where you put your overall effect determination after you have analyzed the exposure and response of species and habitat to the stressors resulting from the proposed action and interrelated or interdependent actions. Effect determinations must be based on a sound reasoning from exposure to response and must be consistent with types of actions in the project description, the biology in the species accounts, the habitat status and condition, changes to the existing environment, and the best scientific and commercial information available.

Again, the two potential conclusions for **listed species** are:

Not likely to adversely affect species

Likely to adversely affect species

The two potential conclusions for **designated critical habitat** are:

Not likely to adversely affect critical habitat

Likely to adversely affect critical habitat

The two potential conclusions for **proposed species** are:

Not likely to jeopardize species

Likely to adversely jeopardize species

The two potential conclusions for **proposed critical habitat** are:

Not likely to destroy or adversely modify critical habitat

Likely to destroy or adversely modify critical habitat

Include the basis for the conclusion, such as discussion of any specific measures or features of the project that support the conclusion and discussion of species expected response, status, biology, or baseline conditions that also support conclusion.

If you make a "No effect" determination, it doesn't need to be in the assessment, but you might have to defend it. Keep the documentation for your administrative record.

LIST OF DOCUMENTS

Provide a list of the documents that have bearing on the project or the consultation, this includes relevant reports, including any environmental impact statements, environmental assessment, or biological assessment prepared for the project. Include all planning documents as well as the documents prepared in conformance with state environmental laws

IMPORTANT NOTE: Each of these documents must be provided with the initiation package consultation for the Services to be able to proceed with formal consultation.

LITERATURE CITED

We are all charged with using the best scientific and commercial information available. To demonstrate you did this, it is a good idea to keep copies of search requests in your record. If you used a personal communication as a reference, include the contact information (name, address, phone number, affiliation) in your record.

LIST OF CONTACTS/CONTRIBUTORS/PREPARERS

Please include contact information for contributors and preparers as well as local experts contacted for species or habitat information.

GLOSSARY

Action Area - all areas to be affected directly or indirectly by the Federal action and not merely the immediate area involved in the action.

Cumulative Effects – are those effects of future State or private activities, not involving Federal activities, that are reasonably certain to occur in the action area of the Federal action subject to consultation.

Effects of the Action – refers to the direct and *indirect effects* of an action on the species or critical habitat, together with the effects of other activities that are *interrelated* or *interdependent* with that action, that will be added to the environmental baseline.

Indirect Effects - Indirect effects are those that are caused by the action(s) and are later in time, but are still reasonably certain to occur

Interrelated Actions - Interrelated actions are those that are part of a larger action and depend on the larger action for their justification*Bi.e.* this action would not occur Abut for@ a larger action.

Interdependent Actions - Interdependent actions are those that have no significant independent utility apart from the action that is under consideration*Bi.e.* other actions would not occur Abut for@ this action.

Environmental Baseline – includes the past and present impacts of all Federal, State, or private actions and other human activities in the action area, the anticipated impacts of all proposed Federal projects in the action area that have already undergone formal or early section 7 consultation, and the impact of State or private actions that are contemporaneous with the consultation in process.

Likely to jeopardize the continued existence of – to engage in an action that reasonably would be expected, directly or indirectly, to reduce appreciably the likelihood of both the survival and recovery of a listed species in the wild by reducing the reproduction, numbers, or distribution of that species.

May Affect, Not Likely to Adversely Affect – the appropriate conclusion when effects on a listed species are expected to be *discountable*, *insignificant*, or completely *beneficial*.

Beneficial effects – contemporaneous positive effects without any adverse effects

Insignificant effects – relate to the size of the impact and should never reach the scale where take would occur.

Discountable effects – those that are extremely unlikely to occur. Based on best judgment, a person would not: (1) be able to meaningfully measure, detect, or evaluate insignificant effects; or (2) expect discountable effects to occur.

May Affect, Likely to Adversely Affect – the appropriate finding if any adverse effect may occur to listed species or critical habitat as a direct or indirect result of the proposed action or its interrelated or interdependent actions, and the effect is not discountable, insignificant, or beneficial.